Notice of Allowability	Application No.	Applicant(s)	
	10/015,056	ROBERTS, KENNETH JOHN	
	Examiner	Art Unit	
	VAN H. NGUYEN	2194	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to *Applicant's amendment on January 30, 2006*.

2. ☒ The allowed claim(s) is/are *1, 5-8, and 12-14 (now renumbered 1-8)*.

3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
   a) ☐ All b) ☐ Some* c) ☐ None of the:
      1. ☐ Certified copies of the priority documents have been received.
      2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
      3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
      1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
   (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.

   Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08), Paper No./Mail Date _____
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____.

WILLIAM THOMSON
SUPERVISORY PATENT EXAMINER

EXAMINER'S AMENDMENT & REASONS FOR ALLOWANCE

I. EXAMINER'S AMENDMENT:

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

2. Authorization for this examiner's amendment was given in a telephone interview with Mr. Christopher J. Brokaw (Reg. No.45, 620) on January 30, 2006.

3. **The application has been amended as follows:**

In the Claims:

A. **All previous copies of claims 1, 5, 6, 8, and 12-14 have been replaced with the following clean copy of claims 1, 5, 6, 8, and 12-14 as amended by the Examiner's amendment:**

Claim 1. A computer-implemented method for applying one or more policy constraints in an application program, the method comprising:

executing the application program to cause a routine, contained in the application program, to be invoked,

wherein invocation of the routine causes redirecting a request, to perform the routine, to a policy broker instead of the application program performing the routine,

wherein the redirecting of the request to the policy broker is achieved by substituting original code contained in the routine for which a policy constraint is to be applied with replacement code that invokes a routine managed by the policy broker,

wherein the replacement code includes code that invokes the routine managed by the policy broker, and

wherein program code, contained in the application program, is not modified to cause the request, to perform the routine for which a policy constraint is to be applied, to be redirected to the policy broker; and

the policy broker performing the routine for which a policy constraint is to be applied, wherein the policy broker causes the one or more policy constraints to be applied to the performance of the routine.

Claim 5. The method as recited in Claim 1, wherein the original code is original source code and the replacement code is replacement source code.

Claim 6. The method as recited in Claim 1, wherein the original code is original object code and the replacement code is replacement object code.

Claim 8. A computer-readable storage medium carrying one or more sequences of one or more instructions for applying one or more policy constraints in an application program, the one or more sequences of one or more instructions including instructions which, when executed by one or more processors, causes:

executing the application program to cause a routine, contained in the application program, to be invoked,

wherein invocation of the routine causes redirecting a request, to perform the routine, to a policy broker instead of the application program performing the routine,

wherein the redirecting of the request to the policy broker is achieved by substituting original code contained in the routine for which a policy constraint is to be applied with replacement code that invokes a routine managed by the policy broker,

wherein the replacement code includes code that invokes the routine managed by the policy broker, and

wherein program code, contained in the application program, is not modified to cause the request, to perform the routine for which a policy constraint is to be applied, to be redirected to the policy broker; and

the policy broker performing the routine for which a policy constraint is to be applied, wherein the policy broker causes the one or more policy constraints to be applied to the performance of the routine.

Claim 12. The computer-readable storage medium as recited in Claim 8, wherein the original code is original source code and the replacement code is replacement source code.

Claim 13. The computer-readable storage medium as recited in Claim 8, wherein the original code is original object code and the replacement code is replacement object code.

Claim 14. The computer-readable storage medium as recited in Claim 8, wherein the one or more policy constraints include one or more security constraints.

B. Claims 2-4 and 9-11 have been cancelled.

II. REASONS FOR ALLOWANCE:

1. The following is an examiner's statement of reasons for allowance:

2. Formal drawings filed on December 01, 2001 are acceptable.

3. The prior art does not expressly teach or render obvious the invention as recited in independent claims 1 and 8 as amended above.

4. Al-Ghosein et al. (U.S. 6,473,791 B1) substantially discloses a computer-implemented method for applying one or more policy constraints in an application program as described in independent claims 1 and 8 [see the Abstract; cols. 4-6]. However, the claimed *"wherein the redirecting of the request to the policy broker is achieved by substituting original code contained in the routine for which a policy constraint is to be applied with replacement code that invokes a*

routine managed by the policy broker, wherein the replacement code includes code that invokes the routine managed by the policy broker", when taken in the context of the claims as a whole, was not uncovered in the prior art teachings.

5. Nor were references uncovered that would have provided a basis of evidence for asserting a motivation that one of ordinary skill level in the art at the time the invention was made, knowing of a computer-implemented method for applying one or more policy constraints in an application program in this specific environment, would have integrated or modified to teach the computer-implemented method for applying one or more policy constraints in an application program including the specific features as recited in the context of independent claims 1 and 8.

6. Dependent claims are allowed as they depend upon allowable independent claims.

7. Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

CONTACT INFORMATION

Any inquiry concerning this communication or earlier communications from the examiner should be directed to VAN H. NGUYEN whose telephone number is (571) 272-3765. The examiner can normally be reached on Monday-Thursday from 8:30AM - 6:00PM. The examiner can also be reached on alternative Friday.
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, WILLIAM THOMSON can be reached at (571) 272-3718.

The fax phone number for the organization where this application or proceeding is assigned is **571-273-8300**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Any response to this action should be mailed to:
Commissioner for patents
P O Box 1450
Alexandria, VA 22313-1450

VHN

WILLIAM THOMSON
SUPERVISORY PATENT EXAMINER